



# U.S. Nuclear Regulatory Commission Office of Nuclear Reactor Regulation

## ***NRR OFFICE INSTRUCTION***

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### **Change Notice**

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Office Instruction No.: **ADM-200, Revision 8**

Office Instruction Title: **DELEGATION OF SIGNATURE AUTHORITY**

Effective Date: **June 27, 2005**

Primary Contact: **Debra Lynn McCain**  
**301-415-1219**  
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Responsible Organization: **NRR/PMAS**

**Summary of Changes:** This revision reflects changes to a number of items. Changes throughout document appear in redline/strikeout. These changes mostly affect the re-concurrence practice and non-concurrence process described in Section 4.1 and 4.2.

Training: **None**

ADAMS Accession No.: **ML043080029**



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Training: **None**

ADAMS Accession No.: **ML043080029**

Position	Primary Contact	C:PIMB:PMAS:NRR	NRR Division Directors (parallel concurrences)				
			D:DRIP:NRR	D:DIPM:NRR	D:DLPM:NRR	D:DSSA:NRR	D:DE:NRR
Name	CDekle/DMcCain	AMendiola	DMatthews	BBoger	TMarsh	SBlack	MMayfield
Date	06/24/2005	06/20/2005	05/13/2005	05/15/2005	05/17/2005	05/18/2005	06/10/2005
Position	D:PMAS:NRR	D:NRR					
Name	CCarpenter	BBorchardt for J. Dyer					
Date	06/07/2005	06/27/2005					

OFFICIAL RECORD COPY

NRR OFFICE INSTRUCTION  
ADM-200, Revision 8

Delegation of Signature Authority

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**1. POLICY**

It is the policy of the Office of Nuclear Reactor Regulation (NRR) to have clearly defined delegations of authority and responsibilities for issuing documents and correspondence.

**2. OBJECTIVES**

To authorize signature authority for various documents and correspondence issued by NRR to ensure effective and efficient implementation of the assigned responsibilities.

**3. BACKGROUND**

NRR Office Instruction, Revision 7 was issued on October 27, 2004. See Attachments 1, 2, and 3 for guidance on signature and concurrence responsibilities.

**4. BASIC REQUIREMENTS**

**4.1 Concurrences**

All correspondence should reflect the concurrence or review of those NRC organizations exercising functional responsibility for the subject matter involved. Individuals can limit their concurrence to technical, policy, or legal areas. Documents should be complete and accurate, yet the developmental process must be efficient and timely. To accomplish these objectives, follow the guidelines provided in part II, Section (J), of the Management Directive Handbook 3.57, "Correspondence Management," and the following additional guidelines for NRR-generated correspondence. **Attachment 1 identifies signature responsibilities and authorities.** Attachment 2 is a checklist to assist document authors in the concurrence process. Attachment 3 provides document authors with an illustration of a concurrence chain for documents signed at the Project Director or Branch Chief level and the concurrence chain for documents signed by the Director, NRR.

1. When changes are made to a document which has previous concurrences, the document should be returned to the primary author (the individual who prepares the document, including consolidation of contributions from others into an integrated product) and the appropriate supervisor for their re-concurrence. However, if comments incorporated in the document cause a significant change to the meaning of the document, the document must be returned through the concurrence chain for re-concurrence. If the original concurrence included Regional Administrator(s) and/or other Office Directors, they must also re-concur before final signature is permitted. If the primary author does not agree with changes made to the document, or some compromise, the primary

author or supervisor may choose to rescind his or her concurrence. This policy denotes the minimally acceptable procedure for re-concurrences. Certain instances may exist where additional re-concurrences by individuals other than the primary author would be prudent. Sound judgment should be exercised to ensure that all concurrences remain unaffected.

2. Concurrence from other divisions within NRR should be at the lowest level that can speak authoritatively on a subject. Concurrence from other divisions implies they are speaking for the division. This usually will be at the project manager, senior staff, or section chief level.
  - a. Branch Chief concurrence would be appropriate on issues involving novel technical content, multi-site impact, or minor policy questions.
  - b. Division Director concurrence normally would be appropriate if (1) significant programmatic impacts are likely, or (2) substantial policy issues are involved. In these cases, the appropriate associate director should be notified.
  - c. The Director, NRR, should be informed before any action is taken that is likely to result in changes to plant operating status.
3. The cognizant Division Director is responsible for all actions within his or her functional area, whether or not concurrence is obtained from any other NRC/NRR organization. The decision-making authority rests with the cognizant division director. Therefore, inability to obtain concurrence from another organization does not relieve the division director of the responsibility to meet schedules. If this occurs, the division director should raise this concern to the Deputy Director, NRR.
4. To ensure appropriate independent review of certain types of documents, when a nonsupervisory staff member is acting for the supervisor, the staff member should not concur and/or sign on their own work. The staff member should obtain concurrence or signature from another cognizant supervisor, or the next higher level of management. This requirement applies only to specific items in the attachment indicated by a footnote.
5. The Director, NRR, holds the cognizant division director responsible for the technical, financial, and administrative accuracy of all documents prepared for the Director, NRR, or higher agency management.
6. Concurrence on controlled correspondence is to be obtained in accordance with Management Directive 3.57. The Office of the General Counsel (OGC) should concur on correspondence that involves legal issues or regulatory interpretation, correspondence from interveners or relating to an active proceeding, and 10 CFR ~~2.206~~ 2.390 petitions. OGC |

concurrence should be obtained on those documents denoted by footnote 2 on page 16 of the attached Delegation of Signature Authority.

7. If the external agency communication (oral or written) contains new or unresolved policy or technical issues, or differs from a stated policy, or if there is a conflict between the author's views and documented NRC policies or positions, or a new policy issue is involved, the Branch Chief will review the summary or abstract of the paper and make recommendations to the Division Director before the Division Director approves acceptance of an invitation. See Office Instruction COM-207 for further guidance.
8. It is the responsibility of the author (originator) to determine the availability and sensitivity of a document, **not the secretary**, submitter, or administrative staff.
9. Concurrence should be obtained from the Technical Editor for any document for the Office Director's signature or above.
10. Many documents issued by The Office of Nuclear Reactor Regulation are required, by Title 10 *Code of Federal Regulations*, to be signed by the Office Director. This signature can be delegated to a designated "acting" in the absence of the Office Director. Staff should remain sensitive to ensure the appropriate signature is obtained. As a general rule, licensing documents best fit this category. Many other documents, which in the past, have required concurrence by multiple Executive Team (ET) members can now be concurred and signed by one ET member only.
11. The Administrative Services Team (FAST) will ensure proper routing of documents for ET signature to ET members. Concurrence block will only include NRR Office Director.

#### 4.2 **Non-concurrence**

If an employee has genuine concerns with aspects of any document for which he/she has expertise or responsibility, that employee has the responsibility to raise those concerns, without fear of retribution, irrespective of whether the employee is on concurrence for the document.

Concerns with the technical content, overall approach, or objective of the document should be discussed with the author of the document. If this discussion does not resolve the disagreement, the document author-employee should hold a discussion-discussions with the successive levels of management responsible for approval of the document, up to and including the signatory of the document, in an attempt to resolve the disagreement within the concurrence process.

If a solution still cannot be reached, a non-concurrence may be appropriate. Non-concurrence is an act which symbolizes indicates disagreement with information provided in an NRC document any piece of NRC correspondence-based upon the

individual's experience, and/or responsibility. In such a case, the non-concurring employee or highest level manager agreeing with the non-concurring employee must ~~should~~ separately document the reason for the non-concurrence in a memorandum to the Division Director responsible for the approval of the document and his/her Division Director. If a manager non-concurs, he/she should clearly distinguish in the memorandum whether the non-concurrence is organizational (for the branch or section) or personal. If the non-concurring employee ~~in the case where the non-concurring employee is on concurrence for the document~~, the employee shall note the non-concurrence on the concurrence sheet (by initialing and writing "non-concurrence" in the concurrence block).

The Division Director in the division where the non-concurrence originates ~~responsible for the approval of the document~~ shall document the resolution of the issue and the corresponding basis in a separate memorandum. If the Division Director disagrees with the non-concurring employee (staff-level non-concurrence), the Division Director shall issue the memorandum to the document's final signature authority, prior to the document's issuance, providing the basis for disposition. However, if the Division Director agrees with the non-concurring employee (division-level non-concurrence), the non-concurrence shall be raised to the NRR Deputy Director (for DRIP and DIPM) or the Associate Director (for DSSA, DE, and DLPM) for disposition. In this case, the NRR Deputy Director or Associate Director is responsible for preparing the appropriate memorandum to the signatory of the document.

Regardless of the level of non-concurrence, the Division Director will discuss the resolution with the NRR Deputy ~~Office~~ Director or Associate Director and will inform the non-concurring employee of the resolution and of the availability of the processes in MD 10.159, "The NRC Differing Professional Opinions Program" and ~~NRR Office Instruction ADM-102, "Differing Professional Views."~~ The non-concurrence memorandum and the resolution memorandum will be placed in ADAMS by the administrative staff of the affected Division (~~non-publicly available~~) as part of a non-publicly available package which includes the document. This package will be created for the sole purpose of linking the non-concurrence memorandum to the document and should be distinct from packages created for other purposes, i.e., to link an incoming document to a response. The Division Director will ensure that this package is provided to the non-concurring employee, the signatory of the document, and PMAS/POEB (included on distribution for tracking purposes), to allow the signatory to be fully informed of the issues raised.

In accordance with the guidance in Management Directive (MD) 3.53, "NRC Records Management Program," NRR senior management requires that all significant decisions made by its staff shall be documented and preserved. Therefore, the senior manager responsible for resolving the non-concurrence shall issue, when practical, the memorandum to the signature authority supporting concurrence or non-concurrence prior to the issuance of the document. Likewise, the senior manager shall issue, when practical, the memorandum describing the decision regarding the non-concurrence to the non-concurring employee prior to the issuance of the document. While it will be NRR's goal to prepare and issue these memoranda prior to the document's issuance, NRR will not allow the

documentation process to impact its ability to make timely decisions on safety significant issues. Therefore, any deviation from fulfilling these expectations shall require the NRR Deputy Director's or Associate Director's approval.

Differences that the non-concurring employee believes are potentially significant and cannot be resolved with Office management shall be handled in accordance with the guidance in MD 10.159, "The NRC Differing Professional Views or Opinions Program." and NRR Office Instruction ADM-102, "Differing Professional Views."

#### **4.2.1 Organizational Responsibilities for Non-concurrences**

1. Deputy Director or Associate Director, as appropriate
  - A. Provides resolution for division level non-concurrences.
  - B. Responds, in writing, to all division level non-concurrences providing a basis for any decisions made.
2. Division Director/Deputy Division Director
  - A. Informs Deputy Director or Associate Director of all non-concurrences.
  - B. Proposes resolution to Deputy Director or Associate Director for division-level non-concurrences.
  - C. Provides resolution for staff-level non-concurrences within his/her division.
  - D. Prepares written justification, prior to the document's issuance, to the document's signature authority describing basis for either concurrence or non-concurrence of the document.
  - E. Responds, in writing to the non-concurring employee, for all staff-level non-concurrences providing basis for any decisions made.
3. Branch and Section Chiefs
  - A. Informs Division Director/Deputy Division Director of all non-concurrences by their staff.
  - B. Proposes resolution to Division Director/Deputy Division Director for staff level non-concurrences.
4. Each Employee
  - A. Responsible for raising any concerns with a document to his/her immediate supervisor.

- B. Responsible for providing non-concurrence for any document that he/she has genuine concerns, and for which he/she has expertise and/or responsibility, regardless of whether he/she is on concurrence for the document.
- C. Separately documents reason for non-concurrence in writing to his/her Division Director.

**5. RESPONSIBILITIES AND AUTHORITIES**

Re-delegation of responsibilities and authorities is delineated in the attachment to this Office Instruction.

As appropriate, NRR division directors may issue written guidance reflecting internal NRR signature authorities that are consistent with the delegation of authority reflected in the attachment and the responsibilities assigned.

**6. PERFORMANCE MEASURES**

No performance measures for this office instruction have been developed at this time.

**7. PRIMARY CONTACT**

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NRR/PMAS  
301-415-1219  
d1m2@nrc.gov

**8. RESPONSIBLE ORGANIZATION**

NRR/PMAS

**9. EFFECTIVE DATE**

June 27, 2005

**10. REFERENCES**

- Management Directive 3.57, "Correspondence Management Handbook"
- *Code of Federal Regulations*, Title 10
- *Code of Federal Regulations*, Title 36, Part 800
- Office Instruction ADM-404, Human Resources Field Policy
- Office Instruction COM-104, NRR Interfaces with OE
- Office Instruction COM-106, Control of Task Interface Agreements
- Office Instruction COM-107, Reports of Misconduct by NRC Staff
- Office Instruction COM-207, Revision 1, Procedures for Reviewing and Approving Speeches, Presentations, Papers, and Journal Articles by NRR Staff and Contractors
- Management Directive 4.1, "Official Temporary Duty Travel"
- Management Directive 4.2, "Administrative Control of Funds, Part VIII"



- Management Directive 9.27, "Organization and Functions of NRR"
- Management Directive 10.42, "Hours of Work and Premium Pay"
- Management Directive 10.62, "Leave Administration"
- Management Directive 10.99, "Discipline, Adverse Actions and Separations"
- Management Directive 11.1, "NRC Acquisition of Supplies and Services"
- Management Directive 11.7, "NRC Procedures for Placement and Monitoring of Work With the U. S. Department of Energy (DOE)"
- Management Directive 11.8, "NRC Procedures for Placement and Monitoring Work With Other Federal Agencies Other Than DOE"

Attachments:

1. NRR Delegation of Signature Authority
2. Checklist for Document Authors
3. Agency Communications on Policy Matters and Chairman Correspondence
4. Appendix A - Change Notice

**OFFICE OF NUCLEAR REACTOR REGULATION (NRR)  
DELEGATION OF SIGNATURE AUTHORITY  
NRR OFFICE INSTRUCTION ADM-200, Revision 8**

	<b>DELEGATED SIGNATURE AUTHORITY<sup>1</sup></b>
1. Biweekly Memo - Request for Publication in Biweekly <i>Federal Register</i> Notice <sup>2</sup>	Project Manager
2. Environmental Assessment and Finding of No Significant Impact, including letters pertaining to NRR findings involving historic properties <sup>2</sup> (pursuant to 36 CFR Part 800, which became effective 10/01/86)	Project Manager or Chief, Research & Test Reactors Section <sup>9</sup>
3. Safety Evaluation Reports (SERs), Environmental Impact Statements (EISs) and Supplements thereto related to issuance of initial and renewed license (Limited Work Authorizations (LWAs), Construction Permits (CPs), Operating Licenses (OLs), Preliminary Design Approvals (PDAs), and Final Design Approvals (FDAs) <sup>2</sup>	Project Director, DLPM, or any Program Director, DRIP
<p>4. Approvals and denials of Amendments to CPs, OLs, Possession-Only Licenses, and Research and Test Reactor Licenses and associated Safety Evaluations; Extensions of CPs and OLs, and the associated Safety Evaluations<sup>2</sup></p> <p>a. License transfers resulting from change in owners or operators (either direct or indirect) of licensing power production facilities</p> <p>b. (1) Approvals of changes to license conditions, the technical specifications, changes in the facility procedures, or authorizing the conduct of tests or experiments<sup>3</sup></p> <p>(2) Denials of requests for changes to license conditions, the technical specifications, changes in the facility procedures, or authorizing the conduct of tests or experiments</p> <p>c. License terminations, Non-Power License Renewals, Exigent Amendments, Emergency Amendments<sup>10</sup></p>	<p>Direct (transfer to a different licensee) - Director, NRR</p> <p>Indirect (transfer of control of the licensee) - Director, DLPM</p> <p>DLPM Section Chief, or Chief, Research &amp; Test Reactors Section<sup>9, 10</sup></p> <p>DLPM Project Director, or Chief, Research &amp; Test Reactors Section<sup>9</sup></p> <p>DLPM Section Chief, or Chief, Research &amp; Test Reactors Section<sup>9</sup></p>
5. Notices of Enforcement Discretion <sup>10</sup> (NOEDs)	Project Director (NRC Inspection Manual, Part 9900)
6. All SEs, EISs and Supplements thereto not included in Items 3 and 4 <sup>2</sup>	Project Manager

	<b>DELEGATED SIGNATURE AUTHORITY<sup>1</sup></b>
7. Internal correspondence between divisions	Team Leader or Section Chief <sup>9</sup>
8. NUREGs other than those covered by Items 3 and 4 above (OGC concurrence could be appropriate)	Division Director or any Program Director, DRIP
9. Construction Permits, LWAs, Operating Licenses, PDAs, FDAs <sup>2</sup> and Power Reactor License Renewals	Director, NRR
10. Power Level Increase <sup>2</sup> - Measurement Uncertainty Uprate - Stretch to 7% - Extended Power Uprates above 7%	Project Director, DLPM Director, DLPM Director, NRR
11. Exemption Approvals <sup>2</sup> and Denials  Parts 2, 20, 50, 51, 52, 54, 55, 70.24, and 73 <sup>10</sup>	Director, DLPM, or Director, DRIP, or Director, DIPM
12. Certification of Pollution Control Facilities <sup>2</sup>	Director, DLPM
13. Approvals <sup>2</sup> and Denials specified in:  a. 10 CFR 50.55a (ISI/IST) <sup>10</sup> b. Appendix G <sup>10</sup> c. Appendix H <sup>10</sup> d. Appendix J <sup>10</sup> e. Part 20	DLPM Section Chief <sup>9</sup> DLPM Section Chief <sup>9</sup> DLPM Section Chief <sup>9</sup> DLPM Section Chief <sup>9</sup> DLPM or DRIP Section Chief
14. a. Orders to power reactor licensees, including extension requirements (e.g., those required in connection with various rule changes) <sup>2</sup>  b. License transfers  c. Orders as in 14.a for research and test reactors <sup>10</sup>	Director, NRR  Direct (transfer to a different licensee) - Director, NRR  Indirect (transfer of control of the licensee) - Director, DLPM  Director, DRIP
15. Operator Licensing  a. Power Reactor Operator License Appeals  b. Research and Test Reactor Operator Licenses  (1) New, Renewal, Terminations, Waivers <sup>10</sup>  (2) Appeals	Director, DIPM  Program Director, New, Research and Test Reactors <sup>9</sup>  Director, DRIP

	DELEGATED SIGNATURE AUTHORITY <sup>1</sup>
16. Testimony and Filings	
a. Staff Testimony <sup>10</sup>	Staff member preparing the testimony with concurrence by supervising Section Chief
b. Legal Filings (other than staff testimony)	Concurrence by Division Director (as requested by OGC)
17. Construction Permit Extension	Director, NRR
18. Construction Permit Termination	Project Director
19. Construction Permit Recapture	Director, DLPM
20. 2.206 Status Report 2.206 Draft Director's Decision 2.206 Final Director's Decision	Associate, ADPT Director, DLPM Director, NRR
21. Ltrs. to Applicants/Licensees/Vendors/Public	
a. Acceptance reviews, LWAs, rejection of application for quality assurance certifications and other actions reflecting Commission final approval or disapproval position	Project Director, DLPM, or any Program Director, DRIP
b. All routine correspondence related to the normal processing of applications and related reviews, including <u>transmittal</u> of question lists, SEs, licenses, amendments, exemptions, orders and items related to meetings	Project Manager
c. Nonroutine correspondence with vendors/owners groups	Director, DRIP, or Director, DIPM
d. Routine correspondence to vendor/ owners groups <sup>10</sup>	Chief, Plant Support Branch or, Program Director, New, Research and Test Reactors, DRIP or, Program Director, Policy and Rulemaking, DRIP or Project Director, DLPM
e. Plant-specific 50.54(f) letters <sup>2</sup>	Division Director, with justification approved by the Director, NRR
f. Generic Letters and Bulletins	Director, DIPM
g. Information Notices, Regulatory Issue Summaries (RISs), and other generic administrative correspondence <sup>10</sup>	Chief, Reactor Operations Branch, DIPM

	DELEGATED SIGNATURE AUTHORITY <sup>1</sup>
<p>21. Continued</p> <p>h. Backfit Issue Correspondence</p> <p>(1) Regulatory Analysis or Evaluation</p> <p>(2) Letter to licensee containing Backfit Determination and enclosing the Regulatory Analysis</p> <p>i. Proprietary Information - Letter to Applicant <sup>2</sup></p> <p>j. Confirmatory Action Letters</p> <p>(1) Issued by Regions <sup>10</sup></p> <p>(2) Issued by NRR</p> <p>k. Technical Specification Task Force (TSTF)</p>	<p>Director or Deputy Director, NRR</p> <p>Project Director, DLPM, or any Program Director, DRIP</p> <p>Project Manager</p> <p>Concurrence by Director, NRR</p> <p>Director, DLPM or Director, DRIP, (w/concurrence by Regional Division Director, Reactor Projects, and Director, NRR)</p> <p>Director, DIPM</p>
<p>22. Correspondence related to Topical Report Review Program</p> <p>a. Letters related to acceptance of reports for review under Topical Report Program</p> <p>(1) Acceptance letter including points of contact, schedule, and statement of broad proprietary information treatment, as necessary</p> <p>(2) Nonacceptance for Topical Report Program <sup>10</sup></p> <p>b. Question lists and routine correspondence relating to Topical Report reviews</p> <p>c. Letters approving or disapproving Topical Reports for reference <sup>10</sup></p>	<p>Project Manager</p> <p>Project Director</p> <p>Project Manager</p> <p>Project Director</p>

	DELEGATED SIGNATURE AUTHORITY <sup>1</sup>
<p>22. Continued</p> <p>d. <del>Topical Report fee memoranda to Resource Management Branch</del></p> <p>d. Approval or disapproval of requests for proprietary information treatment for Topical Report after Accepted Version (approved version) is filed, as necessary</p>	<p><del>Section Chief</del><sup>9</sup></p> <p>Project Manager</p>
23. Letters to Congressional Oversight Committees	OCA, EDO, or Chairman, as appropriate
24. Interagency Agreement	See Management Directive 11.8
Reimbursable Agreements	See Management Directive 4.2
25. Letters to Department of Navy (DON) concerning reviews encompassed within a Memorandum of Understanding (MOU)	Deputy Director, NRR
<p>26. Letters to Governors, State officials, local officials, and Federal agencies</p> <p>a. Routine <u>transmittals</u> forwarding copies of SEs/Environmental Reports, notices, and other routine documents</p> <p>b. Transmittal of Information to the DOE not related to license reviews<sup>10</sup></p> <p>c. Correspondence which does not establish new policy</p> <p>d. Correspondence which establishes new policy (requires concurrence of EDO and the Chairman).</p>	<p>Project Manager</p> <p>Branch Chief or Project Director or Program Director</p> <p>Branch Chief or Project Director or Program Director</p> <p>Director, NRR</p>
<p>27. Enforcement Action (EA)</p> <p>a. (1) Concurrence in EAs pertaining to reactor licensees or applicants:</p> <p>Including NOVs associated with Green, White, Yellow, or Red SDP finding, or Severity Level IV, III, II, I NOVs or proposed civil penalties</p>	<p>Concurrence* by Branch Chief, DIPM</p> <p>*Formal concurrence not required</p>

	DELEGATED SIGNATURE AUTHORITY <sup>1</sup>
<p>27. Continued</p> <p>(2) Objection to EAs pertaining to reactor licensees or applicants</p> <p>b. EAs for violation caused by vendors<sup>13</sup> (notices of violation nonconformance and proposed civil penalties)</p> <p>(1) Actions involving Severity Level I &amp; II violations with or without proposed civil penalties, Severity Level III violations with proposed civil penalties, and Acknowledgment Letter</p> <p>(2) Notices of Violations with Severity Level III violations, and Acknowledgment Letter</p> <p>(3) Notices of Violations with Severity Level IV violations, and Acknowledgment Letter</p> <p>(4) Acceptance of vendor's response to Notice of Nonconformance or Notice of Violation</p> <p>c. EAs for violations caused by research and test reactor licensees<sup>14</sup> (notices of violation, deviations, and proposed civil penalties)</p> <p>A. Actions involving Severity Level I &amp; II violations and proposed civil penalties</p> <p>(2) Notices of Violation with Severity Level III violations</p> <p>(3) Notices of Violations with Severity Level IV violations, Notices of Deviation, and associated documents, and Acknowledgment Letter</p>	<p>Deputy Director, NRR</p> <p>Director, NRR<sup>12</sup></p> <p>Director, DIPM</p> <p>Branch Chief, DIPM</p> <p>Same level as issuer</p> <p>Deputy Director, NRR, and above<sup>11</sup></p> <p>Director, Division of Regulatory Improvement Programs or above<sup>11</sup></p> <p>Program Director, New, Research and Test Reactors</p>
28. Transmittal of staff reports, supporting documents, and review schedule information to ACRS	First level of supervision
29. Board Notification transmittals	
a. To a sitting Board	Project Manager
b. To the Commission	Director, DLPM, or Director, DRIP

	DELEGATED SIGNATURE AUTHORITY <sup>1</sup>
<p>30. Issuance of Inspection Reports and Operational Safeguards Response Evaluations (OSREs)</p> <p>a. Reactor Inspection Reports and OSREs prepared by NRR <sup>10</sup></p> <p>b. Vendor Inspection Reports <sup>10</sup></p> <p>c. Operator Licensing Exam Reports <sup>10</sup></p>	<p>Chief, Inspection Program Branch, or Program Director, New, Research and Test Reactors Chief, Research and Test Reactors Section, RNRP:DRIP</p> <p>Chief, Emergency Preparedness and Plant Support Branch</p> <p>Chief, Reactor Operations Branch or Chief, Program Director, New, Research and Test Reactors Section, RNRP:DRIP</p>
<p>31. Interactions with Office of Nuclear Regulatory Research (RES)</p> <p>a. User need requests, or requests for technical assistance</p> <p>b. Comments/concurrence on research products, or letters/memoranda to other parties (e.g., RES-initiated correspondence to the ACRS or the Commission)</p>	<p>Director, NRR</p> <p>Branch Chief or Division Director to concur if issue is completely within their area of responsibility. DLPM to coordinate concurrence for issues that affect more than one division.</p>
<p>32. Correspondence with Federal Emergency Management Agency (FEMA) regarding Emergency Preparedness</p> <p>a. Policies and positions <sup>10</sup></p> <p>b. Routine matters</p>	<p>Director, Emergency Preparedness Directorate, Office of Nuclear Security and Incident Response (w/concurrence by Director, NRR, EDO, and the Chairman, as appropriate).</p> <p>Section Chief, Inspection and Communications Team, Office of Nuclear Security and Incident Response <sup>9</sup></p>
33. Issuance of Standard Review Plans	Division Director or any Program Director, DRIP
34. Issuance of Inspection Procedures	Chief, Inspection Program Branch
<p>35. Task Interface Agreements (TIAs) (See COM-106.)<sup>10</sup></p> <p>a. Related to policy issues</p> <p>b. All others</p>	<p>Associate Director (w/concurrence by Director, NRR, EDO, and the Chairman, as appropriate)</p> <p>Deputy Director, DLPM</p>



	<b>DELEGATED SIGNATURE AUTHORITY<sup>1</sup></b>
<p>36. Regional Oversight</p> <p>a. Delegation of Authority</p> <p>b. Procedural and Programmatic Guidance</p> <p>(1) Operator Licensing</p> <p>(2) Licensing Technical Reviews</p> <p>(3) Inspections</p> <p>(4) Evaluation of Licensee Performance (Agency Action Review Meeting (AARM), etc.)</p> <p>c. Policy Guidance and Programmatic Direction</p> <p>d. Issuance of Regional Performance Evaluation</p> <p>(1) Periodic Technical Program Reviews</p> <p>(2) Management Team Reviews</p> <p>(3) Observations from Team Inspections</p> <p>(4) Integrated Regional Office Evaluations</p> <p>e. Response to Requests from Regions for Support</p> <p>(1) NRR Staff Support</p> <p>(2) Contractor Assistance</p>	<p>Director, NRR</p> <p>Chief, Reactor Operations Branch, or Program Director, New, Research and Test Reactors, DRIP</p> <p>Section Chief</p> <p>Chief, Inspection Program Branch</p> <p>Chief, Inspection Program Branch</p> <p>Division Director (for assigned functional area)</p> <p>Division Director (for assigned functional area)</p> <p>Deputy Director, NRR</p> <p>Division Director</p> <p>Director, NRR</p> <p>Section Chief</p> <p>Project Director/Branch Chief/Program Director</p>
<p>37. Controlled Correspondence</p> <p>a. Green Ticket Items</p>	<p>As designated by EDO. When the EDO has designated the Director, NRR, to sign the response to a green ticket item, NRR can redelegate to the Division Director.</p>

	DELEGATED SIGNATURE AUTHORITY <sup>1</sup>
<p>37. Continued</p> <p>b. EDO WITS Items</p> <p>(1) Items for the EDO</p> <p>(2) Items for the Commission</p> <p>c. Yellow Ticket Items</p> <p>(1) Items for the EDO</p> <p>(2) Routine</p> <p>d. Due date extension requests</p>	<p>Director, NRR</p> <p>Executive Director for Operations</p> <p>Director, NRR</p> <p>As assigned</p> <p>Division Director for Green Tickets and EDO WITS items; Section Chief (with management approval) for Yellow Tickets.</p>
<p>38. Procurement</p> <p>a. Requests for Procurement Action (RFPAs) and program transmittal letters</p> <p>b. NRC Form 173, "Standard Order for DOE Work (SOEW)"</p> <p>c. NRC Form 367, "DOE Source Selection Justification"</p> <p>d. NRC Form 30, "Request for Administrative Services," for requests requesting offsite meeting space</p>	<p>Division Director</p> <p>Division Director or any Program Director in the DRIP</p> <p>Division Director or any Program Director in the DRIP</p> <p>Director, PMAS</p>
<p>39. Certifications of billing from technical assistance contracts and consultant services</p>	<p>Project Manager (per Management Directive (MD) 11.7) or Project Officer (per MD 11.1)</p>
<p>40. Letters to consultants and DOE, and DOE laboratories transmitting documents</p>	<p>Project Manager (per MD 11.7)</p>
<p>41. Domestic and Foreign (see block 42.) Travel:</p> <p>a. Form 279, Official Travel Authorization - Block 28 (Administrative Approval)<sup>10</sup></p> <p>Use of noncontract carrier <sup>10</sup></p> <p>Use of free upgrades to premium-class air accommodations <sup>10</sup></p>	<p>Section Chief</p> <p>Section Chief in Block 28</p> <p>Section Chief in Block 28</p>

	DELEGATED SIGNATURE AUTHORITY <sup>1</sup>
<p>41. Continued</p> <p>b. Form 64, Voucher (Part 1) - Block 33 (Approving official)<sup>10</sup></p> <p>c. Form 1164, Local - Block 8 (Approving Official)</p>	<p>Same signature which appeared in Block 28 on the Form 279 unless voucher involves Change of Station (COS). COS vouchers may be administratively approved by Division Director (travel authorizations for COS (NRC Form 279A) are administratively approved by the Office of Human Resources).</p> <p>Section Chief</p> <p>See Memo to JFunches from SCollins dated 09/27/2002.</p>
<p>42. Foreign Travel (Form 445)</p> <p>a. Memorandum - Required for Multiple travelers (2 or more)</p>	<p>Supervisor of traveler (Project Director/Branch Chief/Program Director or above) and Deputy Director, NRR</p> <p>Director, NRR and Deputy EDO (DEDO)</p> <p>See Memo to EDO Office Directors and Regional Administrators from WDean dated 05/04/2005</p>
<p>43. Certification of funds:</p> <p>a. Travel (Block 26)</p> <p>b. Technical Assistance</p> <p>c. 368 Training</p>	<p>Funds Certifying Official or Alternate<sup>5</sup></p> <p>Funds Certifying Official or Alternate<sup>5</sup></p> <p>Funds Certifying Official or Alternate<sup>5</sup></p>
<p>44. Hours of Work and Premium Pay:</p> <p>a. Establish work schedules in accordance with MD 10.42 (4136-036 a., f., h., and k)<sup>10</sup></p> <p>b. Authorize Overtime<sup>6, 10</sup></p> <p>c. Authorize work schedule adjustments for religious observance<sup>10</sup></p> <p>d. Deny work schedule adjustments for religious observance</p>	<p>Immediate Supervisor or Team Leader</p> <p>Immediate Supervisor or Team Leader</p> <p>Immediate Supervisor or Team Leader</p> <p>Director, NRR</p>

	DELEGATED SIGNATURE AUTHORITY <sup>1</sup>
<p>44. Continued</p> <ul style="list-style-type: none"> <li>e. Authorize payment for unused religious observance time (at the time of an employee's separation or transfer)<sup>10</sup></li> <li>f. Recommend to Director, Office of Human Resources, approval of premium pay on an annual basis in lieu of other premium pay</li> <li>g. Assure office coverage during official hours of operation</li> <li>h. Approve leave, excused absence up to 2 hours, absence in duty status, and leave without pay (see MD 10.62)</li> <li>i. Approve excused absence up to 1 day, as limited by MD 10.62.</li> <li>j. Certify the accuracy of Human Resources Management System (HRMS) Reports <sup>7</sup></li> <li>k. Maintain Time &amp; Attendance</li> <li>l. NRC Form 148 - Voucher for Professional Services</li> <li>m. NRC Form 622 - Evaluation of Employee Request to Participate in the Flexible Workplace Program</li> </ul>	<p>Section Chief, Payroll</p> <p>Division Director</p> <p>Immediate Supervisor or Team Leader</p> <p>Immediate Supervisor or Team Leader</p> <p>Office Director</p> <p>Immediate Supervisor or Team Leader</p> <p>Secretary or Support Staff</p> <p>Immediate Supervisor</p> <p>Director, Program Management, Policy Development and Planning Staff</p>
<p>45. Training/Personnel</p> <ul style="list-style-type: none"> <li>a. Training request and authorization for internal NRC courses</li> <li>b. NRC Form 368, Training Requests and Authorizations</li> <li>c. Non-SES personnel actions including salary exceptions, promotions up to and including GG-15, separations, details, postings, and other non-SES personnel actions of a general or routine nature. NOTE: Personnel actions for rotational assignments (NRC Form 711) for <u>any grade level</u> can be approved by the Division Director.</li> </ul>	<p>Immediate Supervisor or Team Leader</p> <p>Immediate Supervisor and Division Director</p> <p>Division Director</p>

	<b>DELEGATED SIGNATURE AUTHORITY<sup>1</sup></b>
45. Continued	
d. GG-15 supervisory positions	Office Director and Deputy Director
e. Awards	See NRR Office Instruction ADM-404
f. 145b Memoranda (Authority to Approve the Employment of an Individual Prior to Completion of the Required Investigation and Report When Access to Classified Matters is Not Involved)	Office Deputy Director
g. NRC Form 236 - Personnel Security Clearance Request and Notification	Selecting Official
46. Candidate evaluation, certification, and selection record (personnel selection Form NRC-178)	Selecting Official <sup>8</sup>
47. Memoranda or letters involving discipline, adverse actions, or separations	See NRC Management Directive 10.99
48. Indemnity Agreements and amendments thereto	Program Director, Policy and Rulemaking
49. NRC Form 390, "Release to Publish Unclassified NRC Staff Speeches, Papers, and Journal Articles" (see Office Instruction COM-207)	Division Director
50. Freedom of Information Act (FOIA) requests	
a. Initial Requests	Project Director or Senior FOIA Official
b. FOIA response that contain allegation information, safeguards information, or records to be withheld in part or in entirety	Division Director
c. FOIA response not containing any of the items listed in b. above	Chief, PIMB:PMAS
d. Referrals	FOIA Coordinator
e. Appeals	Office Director
51. Allegations	See NRR Office Instruction OVRST-200
52. Presentation in a foreign country	Associate Director ADPT for DLPM/DSSA/DE  Office Deputy Director for DRIP/DIPM/EPPΘ (See NRR Office Instruction COM-207)

	<b>DELEGATED SIGNATURE AUTHORITY<sup>1</sup></b>
53. Information Quality Program	
a. Information change requests	Branch Chief/Program Director
b. Information change appeals	Division Director
54. Meeting Notices	Project Manager
a. Meeting Notices that were not able to be posted to the web site at least 10 calendar days in advance of the meeting	Project Director/Branch Chief/ Program Director (See NRR Office Instruction COM-202)
55. Non-NRR initiated Rulemakings with:	
a. Changes to current reactor policy.	NRR Office Director <sup>15</sup>
b. No Changes to current reactor policy.	RPRP Program Director
56. Technical Correspondence transmitted to ACRS	Division Director
57. Standard Review Plan (SRP) revisions	
1. Memorandum forwarding revision to ACRS and CRGR	Division Director
2. Federal Register forwarding to Division of Administration Services, Rules & Directives Branch	Branch Chief
58. Technical Correspondence transmitted to CRGR	Deputy Office Director
59. Licensee Fee Waiver Requests	Director, DLPM

### Footnotes

1. Authority is also delegated to higher levels within the same organization. If the designated organizational unit does not exist in a division, the next higher level is delegated the authority.

Deputy Division Directors, Deputy Branch Chiefs, and Section Chiefs are authorized to act for Division Directors and Branch Chiefs, as appropriate.

2. OGC concurrence is required. For Item 1, OGC concurrence does not apply to Federal Register notices required by 10 CFR 50.91; see the NRR Document Processing and Distribution Guide. Amendments issued using consolidated line-item improvement process may not require OGC concurrence (see Lead PM). OGC concurrence is not required on notices requesting public comments on proposed generic letters and bulletins. OGC concurrence is not required for QA Plan changes and EP Plan changes that do not result in a license amendment.
3. Concurrence by the Director, NRR, is required before issuing a license amendment and final no significant hazards consideration determination if a requested hearing will not be completed before the license amendment is issued. In such instances, notification to the Commission must be provided at least 5 days before the date that the staff intends to issue the final no significant hazards consideration determination and license amendment.
4. The concurrence of the Director, Office of Enforcement, and the Deputy Executive Director for Reactor Programs, unless delegated to the Director, Office of Enforcement, is required on Notices of Violations with Severity Level III violations or higher, proposed civil penalties, and correspondence associated with such actions.
5. May be delegated with written approval of the Director, NRR.
6. The names and signatures of individuals specifically delegated this authority shall be furnished to the Division of Accounting and Finance, Office of the Chief Financial Officer (OCFO), via the Time and Attendance Reporting Delegations Form approved by a Division Director, or higher, as appropriate. Alternates must be of equal or higher rank as the overtime approving official.

SES personnel may not be compensated or granted compensatory time off for overtime worked, except that overtime hours worked, including holiday work, may be credited as an offset for time off for religious observance.

7. The names and signatures of individuals specifically delegated these authorities shall be furnished to the Division of Accounting and Finance, OCFO, via the Time and Attendance Reporting Delegations Form approved by a Division Director or higher, as appropriate. These authorities do not routinely transfer to an official serving in an "Acting" capacity unless specifically so delegated as an Alternate on the Time and Attendance Reporting Delegations Form.

8. Completed selection packages must be reviewed by the Division Director or his/her immediate staff prior to submittal to the Resource Management Branch, Program Management, Policy Development and Planning Staff.
9. May be re-delegated to senior staff member.
10. To ensure appropriate independent review, when a nonsupervisory staff member is acting for the supervisor, the staff member should not concur and/or sign on their own work. The staff member should obtain concurrence or signature from another cognizant supervisor, or the next higher level of management.
11. If not otherwise delegated to the Director, Office of Enforcement, the concurrence of the Director, Office of Enforcement, and the Deputy Executive Director for Reactor Programs, is required on Notices of Violation and Severity Level III violations or higher, proposed civil penalties, and correspondence associated with such actions.
12. The Director, NRR may redelegate to Associate Directors and above, the authority to issue civil penalty actions for violations involving vendors, after review and approved by the Director, OE (and the DEDO and the Commission, if applicable).
13. July 17, 1987 delegation of authority from Director, OE to Director NRR.
14. February 3, 1998 delegation of authority from Director, OE to Director, NRR.
15. The RPRP Program Director and appropriate NRR Division Directors must be on concurrence for rulemakings that change reactor policy.



## **Checklist for Document Authors**

### **Prior to entering the concurrence process:**

- " Ensure that those on concurrence are "appropriate managers with collateral responsibility," as discussed in MD 3.57 and "exercise functional responsibility for the subject matter involved," as discussed in ADM-200. Note that ADM-200 states that concurrence from divisions within NRR, other than the division responsible for the document, should be at the lowest level that can speak authoritatively on a subject. This usually will be at the project manager, senior staff, or section chief level.
- " If the document concurrence chain contains multiple individuals at the same level, i.e., section chief, division director, use parallel concurrence, as acceptable. Note that for NRR-generated documents, concurrences for other offices must already have been received before the document can be forwarded to the NRR Office Director for concurrence.
- " Notify individuals on the concurrence chain that their concurrence will be desired, when they can expect to receive the document, and how long they will be given for their review.

### **During the concurrence process:**

- " Re-notify individuals on the concurrence chain that their concurrence is desired and how long they have for their review.
- " Ensure that for Division and NRR Front Office review, documents are logged into, respectively, Division secretaries and the Front Office Administrative Services Team (FAST) mailbox at O-5E15. The office mail system should not be used.
- " Periodically determine status of review of individuals on the concurrence chain.
- " If an individual on the concurrence chain wishes to withhold concurrence for editorial comments, inform that individual that concurrence indicates agreement with the overall approach, objective, and technical content in the individual's area of functional responsibility and indicate that the individual can concur with comments.
- " Attempt to resolve disagreements at the lowest levels. If resolution cannot be reached, elevate through successive levels of management up to and including the signatory of the document.
- " If resolution cannot be reached, inform the individuals involved of the availability of the non-concurrence process and the processes contained within MD 10.159, "Differing Professional Views or Opinions."

# AGENCY COMMUNICATIONS ON POLICY MATTERS AND CHAIRMAN CORRESPONDENCE

## I. DOCUMENTS SIGNED AT THE PROJECT DIRECTOR OR BRANCH CHIEF LEVEL

A. The Project Director (PD)/Branch Chief (BC) is permitted to sign only after the document has been fully concurred in by the NRR Directors' office, the EDO, and the Chairman. If substantial changes are made by the EDO and/or the Chairman, the document must return to the NRR Director's office again before final signature is permitted.

B. The proper concurrence chain is as follows:

Project Director/Branch Chief (concur only, do not sign), **Regional Administrator/Other Office Director**, NRR Office Director, Executive Director for Operations, Chairman, NRR Office Director (only if substantial changes are made), Project Director/Branch Chief (sign).

OFFICE	NRR:	NRR:PD/BC	Technical Editor	NRR:DD/AD	RA/Other OD	NRR:OD	OEDO	OCM/RM	NRR:OD	NRR:PD/BC
NAME	Originator (concur)	PD/BC Name (concur)		Management Chain* (concur)		JDyer (concur)	LReyes (concur)	NJDiaz (concur)	JDyer** (concur)	PD/BC Name (Sign)
DATE	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY

\*The appropriate management chain varies across Divisions. Typically, this can include the Division Director and Associate Director.

\*\*The second NRR Director's office concurrence is required only if substantial changes are made by the EDO and/or the Chairman.

## II. DOCUMENTS SIGNED BY THE DIRECTOR, NRR

A. The document is signed only after it has been concurred in by the Executive Director for Operations and the Chairman.

B. The proper concurrence chain is as follows:

**Regional Administrator/Other Office Director**, NRR Office Director (concur only, do not sign), Executive Director for Operations, Chairman, NRR Office Director (sign)

OFFICE	NRR:	NRR:DD/AD	Technical Editor	RA/Other OD	NRR:OD	OEDO	OCM/RM	NRR:OD
NAME	Originator (concur)	Management Chain* (concur)			JDyer (concur)	LReyes (concur)	NJDiaz (concur)	JDyer (sign)
DATE	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY

\*The appropriate management chain varies across Divisions. Typically, this can include the Section Chief, Branch Chief, Division Director, and Associate Director.

Appendix A - Change History  
Office Instruction ADM-200, Revision 8

<b>ADM-200, Revision 8 - Change History - Page 1 of 2</b>			
<b>Date</b>	<b>Description of Changes</b>	<b>Method Used to Announce &amp; Distribute</b>	<b>Training</b>
11/06/2001	This Office Instruction is a conversion of NRR Office Letter 101, Revision 13, Delegation of Signature Authority. In addition to being reformatted, there has also been changes to the level of delegated signature authority.	Hard copy distributed to all NRR employees	None
01/18/2002	This revision incorporates the reorganization that took place in the Division of Regulatory Improvement Programs (DRIP), NRR. Additionally, there are a few areas where the level of signature authority has changed. The revisions to this Office Instruction are indicated with redline.	Hard copy distributed to all NRR employees	None
08/27/2002	This revision reflects changes in items 11, 14, 32, 45, 49.	Hard copy distributed to all NRR employees	None
10/11/2002	This revision reflects changes in items 11, 41 and added a new item 53. "Information Quality Program." The revisions to this Office Instruction are indicated with redline/strikeout.	Hard copy distributed to all NRR employees	None
01/23/2003	This revision reflects changes to items 34, and 45. Includes an additional item, item 54, and a change to footnote 2. The revisions to this Office Instruction are indicated with redline/strikeout.	Hard copy distributed to all NRR employees	None
08/08/2003	This revision reflects changes relative to the recent Associate Director for Inspection & Programs (ADIP) re-organization and the function of OSREs residing in NSIR. Additionally, this revision includes an additional item, item 55 and footnote 15. The revisions to this Office Instruction are indicated with redline/strikeout.	Hard copy distributed to all NRR employees	None

[illegible]